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NASA Policy Directive

NPD 2200.1BEffective Date: November 19,
2009Expiration Date: November 19,
2014**COMPLIANCE IS MANDATORY**[Printable Format \(PDF\)](#)

Request Notification of Change

(NASA Only)

Subject: Management of NASA Scientific and Technical Information

Responsible Office: Office of the Chief Information Officer

1. POLICY

a. NASA, as an Agency, through its Chief Information Officer (CIO), shall, as outlined in Section 5, manage the informational results of its research and development efforts by conducting a Scientific and Technical Information (STI) Program. STI is defined as the results (the analyses of data and facts and resulting conclusions) of basic and applied scientific, technical, and related engineering research and development.

b. NASA shall collect, manage, disseminate, safeguard, and have archived its NASA STI for use by NASA and NASA contractors and grantees, and where appropriate, the public, to advance NASA's goals in science, exploration, and aeronautics, strengthen the effectiveness and improve the productivity and cost effectiveness of the NASA research effort, reduce unnecessary duplication, and improve U.S. competitiveness in science and technology.

c. Unless restricted by U.S. statute, regulation, or Agency policy, NASA shall provide for the "widest practicable and appropriate dissemination" of STI resulting from NASA's research effort, while precluding the inappropriate dissemination of NASA's restricted and Sensitive But Unclassified (SBU) information, in keeping with the National Aeronautics and Space Act of 1958, as amended.

d. To preclude inappropriate dissemination, STI shall be reviewed through the NASA Scientific and Technical Information Document Availability Authorization (DAA), NASA Form 1676, detailed in NPR 2200.2 prior to being published, released external to the Agency or made available to foreign persons by, or at the direction of, NASA. This review requirement includes STI derived from NASA-funded contracts, grants, and cooperative agreements when published or released by, or at the direction of, NASA.

e. The following information or data is exempt from the documentation, approval, and dissemination requirements of this directive and NPR 2200.2. However, specific review requirements prior to release, such as export reviews, may apply to specific information in accordance with law and NASA policy.

(1) Information published in policy documents, such as NASA directives and NASA Technical, Engineering, or Safety Standards (NPD 8070.6).

(2) Information published as a result of mishap investigations (NPR 8621.1).

(3) Proposal information marked with confidentiality notices furnished to NASA by contractors and grantees.

(4) New Technology Reports (NTR)-Invention Disclosures. Note: While NTRs are not subject to this directive, STI that includes information that discloses an invention is subject to this directive and NPR 2200.2.

(5) Raw and processed scientific and technical data and data sets independent of the analysis of the data and resulting conclusions. However, STI publications or presentations that include such data are subject to this directive and NPR 2200.2.

(6) Software.

(7) Tech Briefs and Technical Support Packages (TSPs).

(8) STI derived from NASA-funded contracts, grants, and cooperative agreements when published or released by the contractors, grantees, or cooperative agreement recipients on their own behalf without direction from NASA.

(9) Scientific and technical documents exchanged with NASA international partners under established international agreements with foreign governmental entities. (Individual documents may require review by the Center Export Administrator prior to release. NASA employees transferring export-controlled technical data under a NASA international agreement shall reference the international agreement clause "Transfer of Goods and Technical Data" requirements and consult with the Center Export Administrator for specific guidance.)

2. APPLICABILITY

a. This NPD shall apply to NASA Headquarters and NASA Centers, including component facilities and technical and service support Centers, and to the Jet Propulsion Laboratory, other contractors, grant recipients, or parties to agreements only to the extent specified in their contracts, grants, or agreements.

b. Treatment of STI produced under NASA contracts, grants, and cooperative agreements shall be in accordance with Federal and NASA regulations, including the Federal Acquisitions Regulation (FAR), the NASA FAR Supplement, and NPR 5800.1, NASA Grant and Cooperative Agreement Handbook (14 CFR 1260), except in the case of approved waivers and exemptions.

3. AUTHORITY

a. 5 U.S.C. § 552, et seq., Freedom of Information Act, as implemented by 14 CFR 1206.

- b. 15 U.S.C. § 3704b-2, American Technology Preeminence Act, as implemented by 15 CFR 1180.
- c. 17 U.S.C. § 105, Subject Matter of Copyright: United States Government Works.
- d. 22 U.S.C. § 2751, et seq., Arms Export Control Act, as implemented by 22 CFR Parts 120-130, International Traffic in Arms Regulation (ITAR).
- e. 35 U.S.C. § 205, Confidentiality.
- f. 42 U.S.C. § 2473(a)(3) of the National Aeronautics and Space Act of 1958, as amended.
- g. 50 U.S.C. app. 2401-2420, Export Administration Act of 1979 (as amended, as implemented by 15 CFR Parts 730-774, Export Administration Regulations (EAR)).
- h. OMB Circular No. A-130, Management of Federal Information Resources.

4. APPLICABLE DOCUMENTS

- a. NASA FAR Supplement, 48 CFR Parts 1804, 1827, 1835, and 1852.
- b. NPR 5800.1, Grant and Cooperative Agreement Handbook (14 CFR 1260).

5. RESPONSIBILITY

- a. NASA Mission Directorate Associate Administrators (MDAAs), Chief Engineer, Center Directors, and Mission Support Office Associate Administrators (MSOAAs)

(1) NASA MDAAs, Chief Engineer, Center Directors, and MSOAAs shall be responsible for activities under their cognizance, ensuring that they comply with this NPD and NPR 2200.2, applicable laws and regulations, and other referenced direction.

(2) NASA MDAAs, Chief Engineer, Center Directors, and MSOAAs shall be responsible for STI under their purview, ensuring that it is reviewed technically, as required by NPR 2200.2, and, if applicable, the NASA Guidelines for Quality of Information.
(<http://www.sti.nasa.gov/nasaonly/qualinfo.html>)

- b. NASA Chief Information Officer (CIO)

(1) The NASA CIO shall plan and manage implementation of the Agency STI Program, assess the effectiveness of the program, designate the NASA Office of the CIO STI Program Executive, designate an STI Program Office (STIPO), and review and approve an STIPO plan and its implementation.

(2) The NASA CIO shall update or have updated this directive and NPR 2200.2, according to scheduled revisions.

(3) The NASA CIO shall, to the extent practicable, acquire (collect), manage, disseminate (or provide access to), safeguard, and have archived NASA STI from NASA-authored and/or NASA-funded research for use by NASA and NASA contractors and grantees and, where appropriate, the public, to advance NASA's goals in science, exploration, and aeronautics, strengthen the effectiveness and improve the productivity and cost-effectiveness of the NASA research effort, reduce unnecessary duplication, and improve U.S. competitiveness in science and technology.

- (4) The NASA CIO shall, to the extent practicable, collect or provide access to domestic and international non-NASA STI pertinent to NASA's mission and programs for use by NASA and NASA contractors and grantees through exchange agreements.
- (5) The NASA CIO shall "provide for the widest practicable and appropriate dissemination" of STI resulting from NASA's research effort, unless restricted by U.S. statute, regulation, or Agency policy, while precluding the inappropriate dissemination of NASA sensitive and SBU information, in keeping with the National Aeronautics and Space Act of 1958, as amended.
- (6) The NASA CIO shall establish policies and procedures to protect and disseminate NASA STI in a manner consistent with U.S. laws and regulations, Federal information policy, National Institute of Standards and Technology Security Standards, intellectual property rights, technology transfer protections requirements, and budgetary and technological limitations.
- (7) The NASA CIO shall continue to improve the cost-effectiveness and performance of STI collection, management, and dissemination.
- (8) The NASA CIO shall, as appropriate, publish and make available its NASA STI as promptly as possible to maximize the benefit of the research.
- (9) The NASA CIO shall ensure that producers of NASA STI (including contractors, grantees, and cooperative agreement personnel in accordance with the requirements of their funding agreements) are aware of Agency requirements and procedures prescribed by NPR 2200.2 and the references given therein. Review of technical accuracy is currently accomplished outside the NF-1676 process.
- (10) The NASA CIO shall ensure that NASA-funded STI received from contractors, grantees, and cooperative agreement personnel, if published, released external to the Agency, or made available to foreign persons by, or under the direction of NASA (versus release by the contractor or grantee independent of direction by NASA), is released in accordance with NPR 2200.2, reviews and approvals, and in accordance with specific requirements in the contract, grant, or agreement.

c. Agency OCIO STI Program Executive

- (1) The Agency OCIO STI Program Executive shall determine the strategic direction and plan for the STI Program.
- (2) The Agency OCIO STI Program Executive shall allocate funds for the STIPO.
- (3) The Agency OCIO STI Program Executive shall coordinate and approve the Agency's STI policies with the NASA CIO, MDAAs, Chief Engineer, Center Directors, and MSOAAs.
- (4) The Agency OCIO STI Program Executive shall ensure that the information system for the electronic collection of NASA STI by NASA Center for AeroSpace Information (CASI) has a security assessment and an authorization to operate in accordance with NPR 2810.1 at a security category for SBU information in accordance with NPR 1600.1.
- (5) The Agency OCIO STI Program Executive shall oversee for the Agency CIO the activities listed in 5.b. (1) through (10).

d. STI Program Office (STIPO)

- (1) The STIPO shall coordinate with the NASA CIO to recommend STI policy and procedures via this NPD and NPR 2200.2 and implement the approved policy and procedures.
- (2) The STIPO shall ensure that NASA STI that is received at the NASA CASI is shared (as appropriate) with entities required by U.S. statute, such as, but not limited to, the National Archives and Records Administration, Government Printing Office, National Technical Information Service, and other partnerships agreed upon.
- (3) The STIPO shall operate and manage an Agency-level STI Program, in accordance with NPR 7120.7, and an annual Program Commitment Agreement (PCA) initiated by the Agency CIO and agreed to by the STIPO's Center CIO.
- (4) The STIPO shall coordinate the development, operation, and maintenance of a virtual electronic collection of NASA STI by overseeing the operation and maintenance of the NASA CASI, a contractor facility, and/or any successor facilities, systems, partnerships, or institutes.
- (5) The STIPO shall appoint personnel to serve on Agency-level and external teams pertinent to STI.
- (6) The STIPO shall negotiate and implement STI data-sharing agreements to facilitate the collection, purchase, and dissemination of STI. This does not include data-sharing agreements that are the responsibility of missions, projects, and programs.
- (7) The STIPO shall conduct an annual review to ensure that all Centers are in compliance with this NPD.
 - (a) The annual review shall include evaluating implementation at the Centers of the DAA review process described in this directive and NPR 2200.2.
 - (b) STIPO shall report the findings of this review to each Center Director and the Center STI Manager to facilitate improvements when warranted.

e. Center Directors

- (1) Center Directors shall ensure that all STI activities under their cognizance are performed in accordance with this NPD, NPR 2200.2, pertinent laws and regulations, and referenced documents.
- (2) Center Directors shall designate individuals to serve as the Center STI Manager and as the Center DAA representative.
- (3) Center Directors, in coordination with the Center STI Managers, shall establish and implement a plan to ensure awareness of the STI review requirements contained in NPR 2200.2.
- (4) Center Directors shall ensure that corrective actions associated with improvement areas cited in the yearly compliance review are implemented at their Center.

f. Center STI Managers

- (1) Center STI Managers shall ensure that the Center is aware of policies and procedures indicated in this NPD and NPR 2200.2. This awareness includes appropriate training in STI (including SATERN training) and information security protection.
- (2) Center STI Managers shall ensure that the Center documents the number, type, title,

author(s), and availability of STI that is published or released external to the Agency by, or at the direction of, the Center.

(3) Center STI Managers shall ensure that the STI, as well as the approved NF-1676, is submitted to the NASA CASI.

(4) If the STI originated from a NASA contract or grant, Center STI Managers shall also ensure that the appropriate Contracting Officer (CO), Contracting Officer's Technical Representative (COTR), Grant Officer, and/or the Grant Technical Officer are notified of the submittal.

(5) Center STI Managers shall be responsible for instituting a process to ensure that timely (prior to needed release date) notification is given to authors, initiators, and approvers of STI including, as a minimum, the disposition of the STI, either approved or disapproved, to help ensure that only appropriately approved STI is released.

(6) Center STI Managers shall ensure that their Center maintains a list of all non-approved STI and that this list is provided to the STIPO annually to help support STIPO's compliance review of appropriately released STI.

(7) Center STI Managers, in coordination with Center Directors, shall establish and implement a plan to ensure awareness of the STI review requirements contained in NPR 2200.2.

(8) Center STI Managers shall ensure that NASA CASI has NF-1676s and STI from the Center before documents that have reached the end of their retention period are discarded.

g. Center DAA Representatives

(1) Center DAA Representatives shall coordinate with the Center's authors, STI Manager, COs, COTRs, Grants Officers, Grant Technical Officers, and managers who approve STI in order to track, file, and transfer the NF-1676 and its associated STI, after approval, to NASA CASI.

h. Managers Who Approve STI at Centers

(1) Managers who approve STI at Centers shall ensure that STI in their areas of responsibility receives appropriate technical review and management review (through the NF-1676) prior to the STI being published, released external to the Agency, or made available to foreign persons by, or under the direction of, NASA.

(2) Managers shall also ensure that STI is reviewed to determine its information quality as cited in NPR 2200.2.

(3) Managers shall coordinate their efforts with the Center's DAA representative, COs, COTRs, Grants Officers, Grant Technical Officers, and STI Manager, as applicable.

(4) Managers shall be responsible to coordinate the quality of their publications with NPR 2200.2 and to refer documents to the CIO's NASA Information Quality Officer (<http://www.sti.nasa.gov/nasaonly/qualinfo.html>) if these publications meet the definition of "Influential" or "Highly Influential" as cited in Section 515, "OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Dissemination by Federal Agencies."

(5) Managers who approve STI shall track STI documents that are disapproved for

release and provide the list to the Center STI Program Managers on a regular basis (at least annually) or as requested by the Center STI Manager for STIPO compliance reviews.

i. Contracting Officers (COs)

(1) COs receive the final reports (and additional reports required by the contract) from contractors and submit the reports to the COTR for review and acceptance.

(2) COs shall ensure that STI requirements and information security protection consistent with NPRs 2200.2, and 2810.1 are placed in NASA contracts.

j. Contracting Officer's Technical Representatives (COTRs)

(1) COTRs shall coordinate with the CO regarding contract issues and with the Center STI Manager regarding publication issues.

(2) COTRs shall ensure that contractor-produced STI receives a DAA review if the Center elects to publish or release the STI external to the Agency or will make the STI available to foreign persons by, or under the direction of, NASA.

(3) COTRs shall send a copy of the DAA-approved STI and the associated NF-1676 to the STI Manager and/or DAA representative.

(4) COTRs shall comply with Center procedures for notifying the contractor if and when the STI is approved for publication by NASA.

k. Grant Officers (GO)

(1) The GO shall receive reports from the grantee or cooperative agreement recipient (or via the NASA Shared Services Center) and shall send the final reports to the Center Grant Technical Officer or other appropriate person to initiate the NF-1676 process if the Center elects to publish or otherwise release the STI external to the Agency or will make the STI available to foreign persons by, or under the direction of, NASA.

(2) The GO shall ensure that STI grant requirements consistent with Agency needs and NPR 2200.2 are placed in NASA grants and agreements.

l. Center Grant Technical Officers (GTO)

(1) Center GTO shall receive final reports from the GO.

(2) GTO shall review and accept final reports.

(3) GTO shall ensure NF-1676 is initiated if NASA elects to publish any report.

m. Authors of STI

(1) Authors shall coordinate with appropriate managers, the Center's STI Manager and Technical Publication Office (TPO), to select the appropriate channel for release of STI.

(2) Authors (or appropriate personnel) in coordination with appropriate managers, COTRs, GTO, and the Center's TPO shall ensure that the DAA review via NF-1676 is initiated in a timely manner for all STI proposed for publication, presentation at open conferences, public release, or other external dissemination by, or under the direction of, NASA.

(3) STI shall not be published, released external to the Agency, or made available to

foreign persons by, or under the direction of, NASA before the DAA review is completed.

(4) STI shall be released only as approved under the DAA review.

(5) Non-NASA authors who elect or are required by the terms of their contract, grant, or cooperative agreement to release STI through NASA channels or on behalf of NASA shall coordinate with their NASA technical monitor, COTR, or GTO for appropriate procedures.

(6) NASA authors of STI (or appropriate personnel) shall publish or otherwise release external to NASA (including via the Internet) only STI that has been reviewed at the appropriate organizational level for technical accuracy, conformance with applicable law, policy, and publication standards, and approved for release as prescribed by NPR 2200.2 and references cited therein.

(7) If STI is believed to be SBU, NASA authors shall notify the applicable NASA officials in accordance with NPR 1600.1, section 5.24 (NM 1600-55), so a determination as to SBU status can be made prior to the DAA review.

(8) The DAA review requirement shall not apply when material is published or released by NASA contractors, grantees, and cooperative agreement recipients through their own publishing and dissemination channels and not through, or at the direction of, NASA.

n. NASA Center for AeroSpace Information (CASI)

(1) CASI, which is NASA's contractor-operated facility, shall acquire (collect), organize, disseminate, and archive (through the National Archives and Records Administration) approved STI.

(2) CASI shall disseminate NASA STI to the Government Printing Office, Federal Depository Libraries, and the National Technical Information Service, as appropriate.

(3) CASI shall provide products and services for NASA related to STI content management of research and development information.

(4) CASI shall use only information systems that have a NASA-approved security assessment and authorization to operate (ATO) in accordance with NPR 2810.1 to process, store, or transmit NASA information.

6. DELEGATION OF AUTHORITY

Responsibility for STI-approved policy and program operations is delegated to the STIPO at Langley Research Center (LaRC) via a Program Commitment Agreement between the NASA CIO and the LaRC CIO.

7. MEASUREMENTS

a. In assessing whether NASA is achieving the STI policies set forth in this NPD (based on Government Performance and Results Act reporting requirements), the Agency shall measure, on an annual basis, the following performance trends to determine the value of the STI Program. These include to:

(1) Capture NASA STI -- NASA shall collect NASA STI from a variety of sources to expand the amount and scope of technical information acquired by the program.

- (a) This activity shall be measured by the number of STI items that are collected and input into the STI database on an annual basis (tracked monthly).
- (b) This measurement shall be tracked and analyzed by the STIPO and validated by a non-STIPO entity.
- (2) Access STI -- NASA shall increase the number of STI documents that it makes available in electronic format.
- (a) This activity shall be measured by the STIPO by the number of electronic documents scanned or received electronically by CASI on an annual basis (tracked monthly).
- (b) This measurement shall be tracked and analyzed by the STIPO and validated by a non-STIPO entity.
- (3) Disseminate STI -- NASA shall track the number of primary distributions or accesses of STI, including electronic searches (Web page hits), to determine the usage of its products and services.
- (a) This activity shall be measured annually (tracked monthly) by the number of Web page accesses in addition to the number of usages of STI products and services.
- (b) This measurement shall be tracked and analyzed by the STIPO and validated by a non-STIPO entity.
- (4) Measure customer satisfaction -- NASA (by the STIPO based on inquiries to the CASI STI Help Desk) shall analyze comments and suggestions received from internal users and user groups (especially NASA, NASA contractors, and NASA grantees) and external users (when received on a voluntary basis) to improve its STI services and products.
- (a) This information shall be tracked by the NASA CASI on an annual basis.
- (b) This information shall be validated by the STIPO and a non-STIPO entity, where possible.
- (5) Measure effectiveness of the STI review process -- NASA shall measure the effectiveness of the STI review process through the results of the annual compliance review and associated reports to the Center Directors.
- (6) Ensure information assurance protection for STI -- NASA shall be assessed based on the accreditation designations of systems that support acquiring, processing, storing, transmitting, and maintaining its information.
- (7) Evaluate effectiveness of STI information protection -- NASA information protection shall be evaluated based on the number and degree of security incidents reported and adjudicated by the NASA Security Operations Center.

8. CANCELLATION

NPD 2200.1A, dated March 28, 2003.

/s/ Charles F. Bolden, Jr.
Administrator

ATTACHMENT A: REFERENCES

- a. Section 515, OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies (February 22, 2002).
- b. NPD 1050.1, Authority To Enter Into Space Act Agreements.
- c. NPD 1080.1, Policy for the Conduct of NASA Research and Technology (R&T).
- d. NPD 1440.6, NASA Records Management.
- e. NPD 2110.1, Foreign Access to NASA Technology Transfer Materials.
- f. NPD 2190.1, NASA Export Control Program.
- g. NPD 8070.6, Technical Standards.
- h. NPR 1441.1, NASA Records Retention Schedules.
- i. NPR 1600.1, NASA Security Program Procedural Requirements.
- j. NPR 2200.2, Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.
- k. NPR 2810.1, NASA Information Technology Security Policy.
- l. NPR 7120.7, NASA Space Flight Program and Project Management Requirements.
- m. NPR 8621.1, NASA Procedural Requirements for Mishap Reporting, Investigating, and Recordkeeping.
- n. NASA Form 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA).
- o. Scientific and Technical Information, Grant Information Circular GIC 07-02, April 5, 2007.
- p. Scientific and Technical Information, Procurement Information Circular PIC 03-03, February 3, 2003.

(URL for Graphic)

None.

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